

Schedule 37-360

DEPARTMENT OF ROADS

PLANNING AND PROJECT DEVELOPMENT DIVISION

May 19, 2016

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE 37-360
AGENCY, BOARD OR COMMISSION DEPARTMENT OF ROADS
DIVISION, BUREAU OR OTHER UNIT PLANNING & PROJECT DEVELOPMENT DIVISION
Supersedes Edition of June 16, 2005

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

PART I – AGENCY STATEMENT:

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE



TITLE

NE Dept of Roads Director

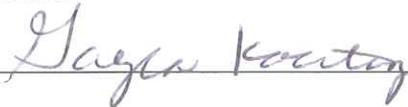
DATE

5/11/16

PART II – APPROVAL OF STATE ARCHIVES:

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE



DATE

5/16/2016

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE



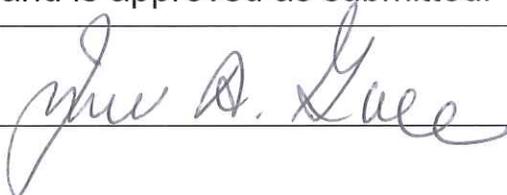
DATE

5/19/16

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE



DATE

5/19/16

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the 2nd to the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

SCHEDULE 37-360
DEPARTMENT OF ROADS
PLANNING AND PROJECT DEVELOPMENT DIVISION
May 19, 2016

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Edition of June 16, 2005

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-168	ADDRESS FILE	Listing of mailing addressed for all counties and incorporated cities. It is used for the distributions of highway allocation warrants.	ELECTRONIC RECORD: Backup monthly; permanent SECURITY BACKUP COPY (MAGNETIC TAPE): Permanent	
37-360-12	AGREEMENTS, (PROJECT AND NON-PROJECT ORIENTED)	May include agreements with utility companies, railroads, counties, cities, villages, and consulting firms for use of buildings payments for services or permits to work in right-of-way which cannot be handled by standard permits; agreements with local governmental units for delegating or assuming responsibilities for the maintenance of roads, bridges, streets, and for agreements for consequent division of financial obligations; agreements for local traffic control installations and for lighting at locations where construction projects are not involved.	PAPER RECORD: Scan original to ECM and destroy paper copy after image verification ELECTRONIC RECORD: Retain in ECM until 5 years after completion, fulfillment, or voiding of contract SECURITY MICROFILM (PRIOR TO 2016): Permanent MICROFILM WORK COPY (PRIOR TO 2016) Permanent CD SECURITY COPY (PRIOR TO 2016): Destroy CD WORK COPY (PRIOR TO 2016): Destroy	
37-360-21	AUTOMATIC TRAFFIC DATA	Computer data is collected regarding the volume of vehicular traffic on selected roads. It is used to analyze road utilization and also is used in planning.	PAPER WORK COPY: 10 years ELECTRONIC RECORD: Permanent SECURITY BACKUP COPY: Permanent	Data has been collected since 1936
37-360-169	AUTOMATIC TRAFFIC RECORDER DATA	Detailed hourly data of traffic.	PAPER WORK COPY: 4 years ELECTRONIC RECORD: 10 years	
37-360-189	CICS 127, 128, 606	127 - Consultant contracts and agreements, payments; 128 - Project control; 606 - Agreement monitoring.	PAPER WORK COPY: 10 years ELECTRONIC RECORD: Permanent SECURITY BACKUP COPY: Permanent	
37-360-45	CONSULTANT RECORDS/ CORRESPONDENCE	Files which contain records of information relating to consultants doing work for the State and for other government entities within the State, where federal and state funds may be involved. These files generally contain correspondence, preliminary estimates, selection of consultant, fee analysis, negotiations and fees, copies of agreements, progress reports, invoices, pay estimates, audit reports and other miscellaneous data involving consultants and work they are doing.	ORIGINAL RECORD: Scan to CD and destroy CD SECURITY COPY: 10 years CD WORK COPY: 10 years	Retain in the Records Center

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-92	LETTERS OF AUTHORITY OR NOTICES TO PROCEED	Letters of authority or notices to proceed with highway projects.	10 years	
37-360-93	LOCATION STUDIES/ CORRIDOR REPORTS	Bonded books containing proposed new alignments for 4-lane Expressways.	ORIGINAL RECORD: Scan to CD after 10 years transfer to the State Archives when no longer of reference value CD SECURITY COPY: 10 years CD WORK COPY: 10 years	
37-360-190	MICROFILMED AGREEMENTS	KAGMICRO. Record of microfilmed agreements.	PAPER WORK COPY: 10 years ELECTRONIC RECORD: Permanent SECURITY BACKUP COPY: Permanent	
37-360-201	MISCELLANEOUS MAINFRAME DATA FILES AND PROGRAMS	Miscellaneous data files related to traffic information and assorted Easytrieve and SAS program files.	PAPER WORK COPY: Permanent ELECTRONIC RECORD: Permanent SECURITY BACKUP COPY: Permanent	
37-360-102	MUNICIPAL AGREEMENTS	Agreement with city, town, village or municipality regarding road construction.	ORIGINAL RECORD: Microfilm and scan to CD; 10 years after execution of agreement SECURITY MICROFILM: Transfer to State Archives MICROFILM WORK COPY: Permanent CD SECURITY COPY: 10 years CD WORK COPY: 10 years	
37-360-116	PHOTOGRAPHY, ARIAL AND GROUND STILL	Official photographs with original negatives, or transparencies. Photographs made a part of project files, reports, and similar groups of documents, negatives of purely local interest which are made for public relations use, e.g., for personal promotions, ceremonies and recognitions, and from any social activities.	PHOTOGRAPHS: Permanent NEGATIVES: Permanent ARIAL PHOTOGRAPH COPIES: Superseded	Obsolete July, 1999
37-360-205	PORTABLE MACHINE TRAFFIC COUNT DATA	Detailed hourly data and ADT's.	PAPER WORK COPY: 2 years ELECTRONIC RECORD: 2 years SECURITY BACKUP COPY (MAGNETIC TAPE): Permanent	
37-360-129	PROGRAM DOCUMENTS	Initial planning correspondence for future highway construction projects.	10 years	
37-360-175	THIRD PARTY CONTRACTS OR AGREEMENTS		10 years	
37-360-210	TRUCK WEIGHT STUDY	Detailed count and weight data.	PAPER WORK COPY: 6 years ELECTRONIC RECORD: Immediate disposal after backup SECURITY BACKUP COPY: Permanent	
37-360-1	UTILITY AGREEMENTS		5 years after payments completed for reimbursable work	
37-360-111	VEHICLE CLASSIFICATION DATA	Detailed hourly count data and ADT's.	PAPER WORK COPY: 4 years ELECTRONIC RECORD: 1 year	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
37-360-187	WATERWAY PERMITS	Files of waterway permits for individual projects.	ORIGINAL RECORD: Microfilm and destroy SECURITY MICROFILM: Transfer to security storage; 50 years MICROFILM WORK COPY: Transfer to security storage after 10 years; 50 years	
37-360-209	TRAFFIC SPREADSHEET	Miscellaneous quarto spreadsheets containing traffic-related data and vehicle mile summaries.	PAPER WORK COPY: 10 years ELECTRONIC RECORD: 10 years	Obsolete 2003

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

--

DATE	SIGNATURE
------	-----------

SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter- size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal- size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb